

2813  
\$

Please type a plus sign (+) inside this box → ☐

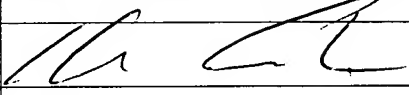
PTO/SB/21 (08-00)

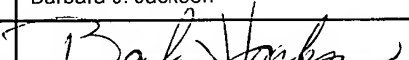
Approved for use through 10/31/2002. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for correspondence after initial filing)	<b>Application Number</b>	10/092,795	
	<b>Filing Date</b>	March 6, 2002	
	<b>First Named Inventor</b>	Nallan, et al.	
	<b>Group Art Unit</b>	2813	
	<b>Examiner Name</b>	Nguyen, Tuan H.	
<b>Total Number of Pages in This Submission</b>	4	<b>Attorney Docket Number</b>	7017/ETCH/CONE

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) ____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <p style="text-align: center;"><b>Copies of 16 References</b></p>
<div style="display: flex; justify-content: space-between;"> <div>Remarks</div> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">TECHNOLOGY CENTER 2800</div> </div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Keith P. Taboada, Esq. , Reg. No. 45,150
Signature	
Date	September 23, 2003

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: <u>September 23, 2003</u>			
Typed or printed name	Barbara J. Jackson		
Signature		Date	September 23, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# **FEE TRANSMITTAL** **for FY 2003**

SEP 25 2003

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)** 180

**Complete if Known**

Application Number 10/092,795  
Filing Date March 6, 2002  
First Named Inventor Nallan, et al.  
Examiner Name Nguyen, Tuan H.  
Group / Art Unit 2813  
Attorney Docket No. 7017/ETCH/CONE

## **METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

20-0782

Deposit  
Account  
Name

Moser, Patterson & Sheridan, LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	750	201	375	Utility filing fee	
106	330	206	165	Design filing fee	
107	520	207	260	Plant filing fee	
108	750	208	375	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)**

(\$) 0

### **2. EXTRA CLAIM FEES**

Total Claims		** =	0	X		=	0
Independent Claims		** =	0	X		=	0
Multiple Dependent		X		=		=	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## **FEE CALCULATION (continued)**

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	180.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$) 180

## **SUBMITTED BY**

**Complete (if applicable)**

Name (Print/Type) Keith P. Taboada, Esq.<sup>7</sup> Registration No. Attorney/Agent 45,150 Telephone 732-530-9404  
Signature Date September 23, 2003

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#10 10/3/03  
Molish

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> <b>Under 37 CFR 1.97(b), (c), or (d)</b>			Docket No. <b>7017/ETCH/CONE</b>
In re Application of: <b>Nallan, et al.</b>			
Serial No. <b>10/092,795</b>	Filing Date <b>03/06/2002</b>	Examiner <b>Nguyen, Tuan H.</b>	Group Art Unit <b>2813</b>

Title: **METHOD OF PLASMA ETCHING OF HIGH-K DIELECTRIC MATERIALS WITH HIGH SELECTIVITY TO UNDERLYING LAYERS**

Address to:  
Commissioner for Patents  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

**37 CFR 1.97(d)**

3. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

**Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)**

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))
- ☐ No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))
- ☒ The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.

**37 CFR §1.704(d)**

4. ☐ Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Keith P. Taboada, Esq.  
Reg. No. 45,150

**Moser, Patterson & Sheridan, LLP**  
Attorneys at Law  
595 Shrewsbury Avenue, Suite 100  
Shrewsbury, New Jersey 07702  
732-530-9404

Dated: Sept 23, 2003

**Certificate of Mailing by First Class Mail**

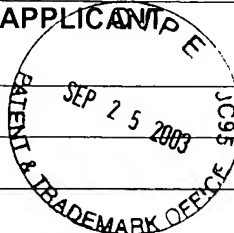
I certify that this document is being deposited on 9-23-2003 with the U.S. Postal Service as first class mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Barbara J. Jackson  
Signature of Person Mailing Correspondence

**Barbara J. Jackson**

Typed or Printed Name of Person Mailing Correspondence

U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		7017/ETCH/CONE	10/092,795
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Applicant Nallan, et al.	Confirmation No.: 3410
(Use several sheets if necessary)		Filing Date	Group
Examiner    Nguyen, Tuan H.		03/06/2002	2813

**U.S. Patent Documents**

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1	2003/0032237	02/13/2003	Clevenger, et al.	438	243	08/09/2001
	A2	2003/0036241	02/20/2003	Tews	438	386	08/15/2001
	A3	5,071,714	12/10/1991	Rodbell et al.	428	620	
	A4	5,188,979	02/23/1993	Filipiak	437	192	
	A5	5,337,207	08/09/1994	Jones et al.	361	321.1	
	A6	5,356,833	10/18/1994	Maniar et al.	437	187	
	A7	6,148,072	11/14/2000	Huang	379	219	
	A8	6,270,568	08/07/2001	Droopad et al.	117	4	
	A9	6,297,095	10/02/2001	Muralidhar et al.	438	257	
	A10	6,300,202	10/09/2001	Hobbs et al.	438	287	
	A11	6,319,730	11/20/2001	Ramdani et al.	438	3	
	A12	6,326,261	12/04/2001	Tsang et al.	438	243	
	A13	6,348,386	02/19/2002	Gilmer	438	288	
	A14	6,528,386	03/04/2003	Summerfelt et al.	438	401	

**Foreign Patent Documents**

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1	01/51072	07/19/2001	WIPO	A61K	38/00	<input type="checkbox"/>	<input type="checkbox"/>
	B2	01/97257	12/20/2001	WIPO	H01L		<input type="checkbox"/>	<input type="checkbox"/>
	B3						<input type="checkbox"/>	<input type="checkbox"/>

**OTHER ART**

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C1	
	C2	

Examiner	Date Considered
----------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.